

0975594 040304

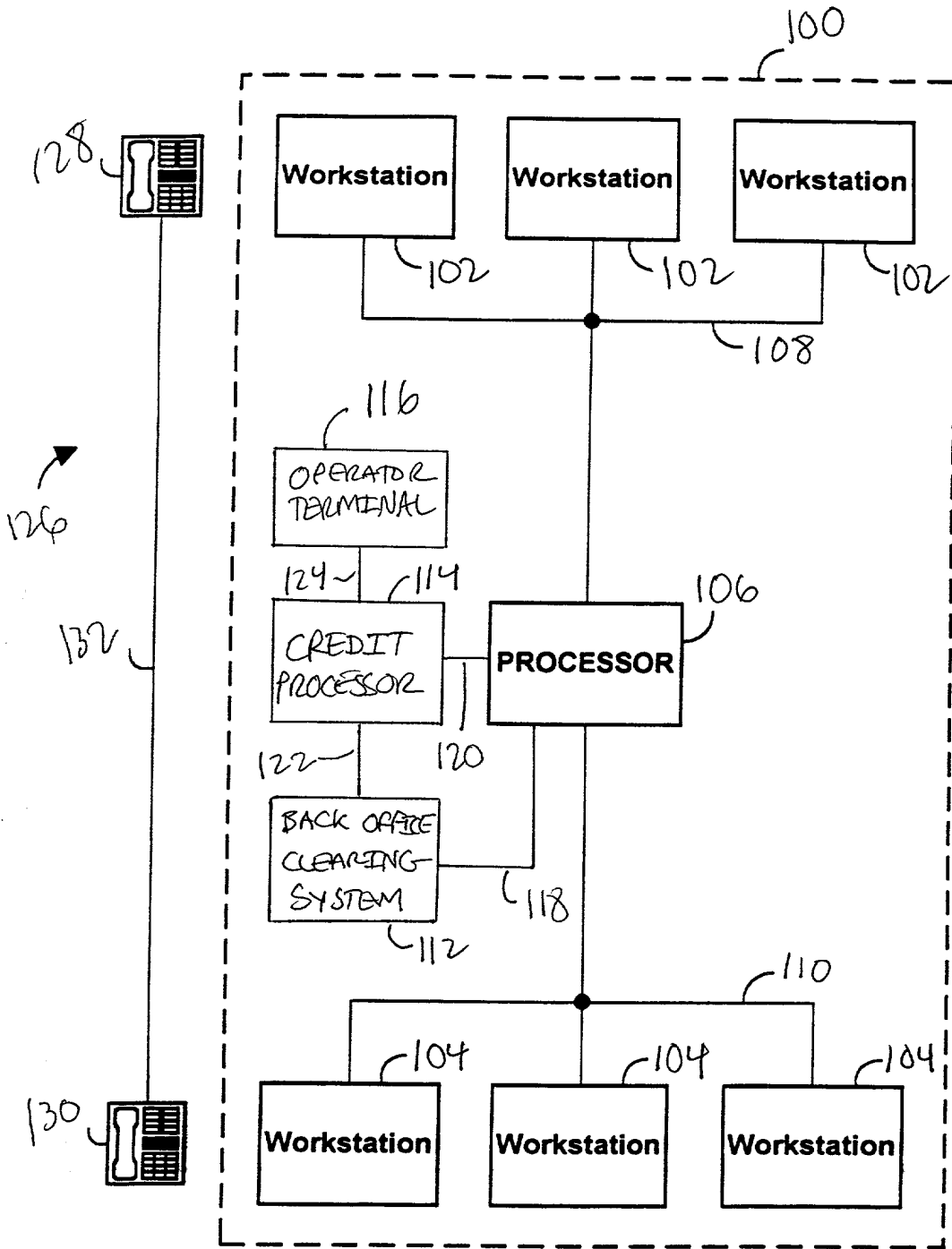
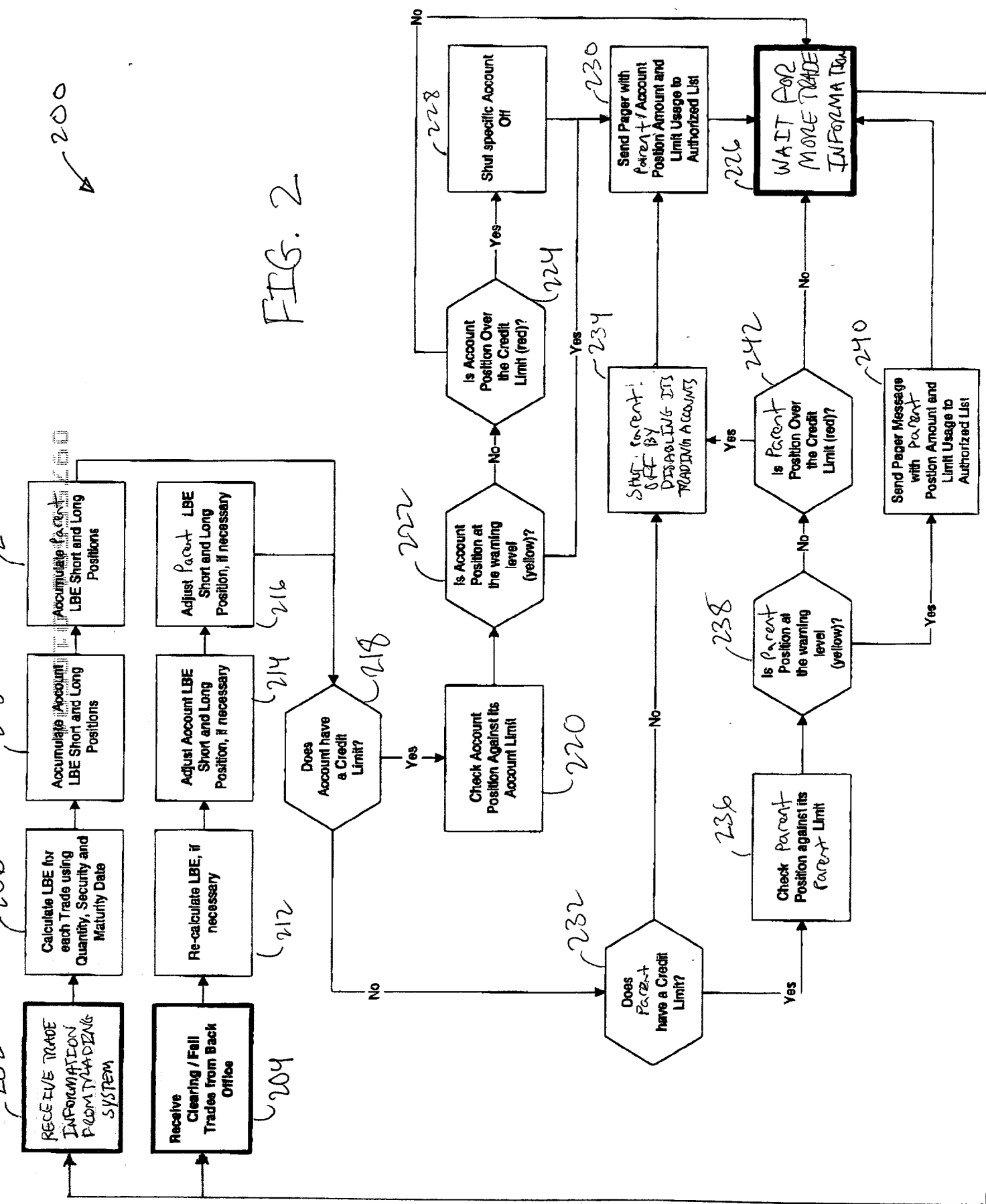


FIG. 1



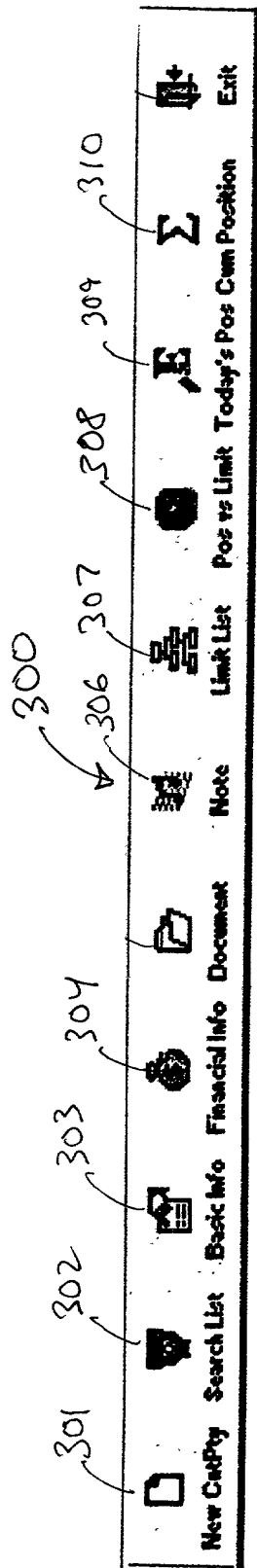


FIG. 3

# Edit Basic Information for CounterParty

## Basic Information

CounterParty ID: 1788 Credit Status: FROZEN

CounterParty Name: REPUBLIC TRADING

Short Name: RETRADE - 428 426

Date Formed: 00/00/0000 Rpt Cntry Code: TOGO

Tax Nbr: 123 456 7890 - 434 New Branches: 9

Type: ☐ Parent ☒ Legal Entity - 438 436

Parent Name: REPUBLIC HOLDINGS

Date Modified: 08/12/1999 17:01:11 User Modified: JONES - 446

## Contact Information

Name: JOHN SMITH Dept: ACCOUNTING

phone 555 - 1234 Title: VP

## Parent Information

Parent ID: 1661 - 448 Classification: HOLDING COMPANY - 450

Parent Name: REPUBLIC HOLDINGS - 452

State: - 454 Country: ITALY - 456

Geo.Region: Europe - 458

## Address Information

### Type: CREDIT MAILING

Addr Street1: 1 MAIN STREET

Addr Street2: SUITE 100

City: NEW YORK

State: NY Postal Code: 10001

Country: UNITED STATES

Geo.Region: North America

## Descriptor Information

CLASSIFICATION

PRIMARY DEALER

← 410

Link To:

Save

Contact

Address

Descriptor

Close

412

414

416

418

420

FIG. 4

500

Countdown Party Contact Information

REPUBLIC TRADING

Contact Information

First Name: JOHN

Last Name: SMITH

Gender: ☒ M ☐ F

Dept: ACCOUNTING

Title: VP

phone: 212-555-1234

Middle Initial: ☐

User Modified: vcoughlin

Date Modified: 12/22/1999 16:05:22

Position: CREDIT MANAGER

502

504

506

508

510

512

514

516

518

520

522

524

526

528

Save

Delete

Close

FIG. 5



Select CounterParty

View Options

☒ CounterParty List

☐ Parent TreeView

ID	CounterParty Name	Classification	Credit Stg	State	City	Geot. Region	Typ	Rpt Country	Parent Name
1708	REPUBLIC TRADING	PRIMARY DEALER	FROZEN	NY	UNITED STATES	North America	LE	TOGO	REPUBLIC HOLDINGS
1731	READY TRADE	PRIMARY DEALER	OPEN	NY	UNITED STATES	North America	LE		READY EMPLOYEES
845	RESEARCH FINANCIAL	UNCLASSIFIED	ACTIVE	NY	UNITED STATES	North America	LE		
836	REPOS UNLIMITED	UNCLASSIFIED	ACTIVE	NY	UNITED STATES	North America	P		

ROW COUNT 20

ROW MANIPULATION

728

730

732

734

736

738

740

742

744

746

748

750

752

754

756

758

760

762

764

766

768

770

772

774

776

778

780

782

784

786

788

790

792

794

796

798

800

802

804

806

808

810

812

814

816

818

820

822

824

826

828

830

832

834

836

838

840

842

844

846

848

850

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858

860

862

864

866

868

870

872

874

876

878

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892

894

896

898

900

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904

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908

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912

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932

934

936

938

940

942

944

946

948

950

952

954

956

958

960

962

964

966

968

970

972

974

976

978

980

982

984

986

988

990

992

994

996

998

1000

RETRIEVE

CLEAR

SELECT

CLOSE

FIG. 7

Select CounterParty

View Options

☐ CounterParty List

☒ Parent TreeView

802-804

806

808

814

Legal Entity List

810

812

1661 REPUBLIC HOLDINGS

1665 READY ENTERPRISES

1791 READY TRADE

845 RESEARCH FINANCIAL

836 REPOS UN LIMITED

Additional Information

CounterParty Information

CounterParty ID: 845

Classification: UNCLASSIFIED

CounterParty Name: RESEARCH FINANCIAL

State: NY

Country: UNITED STATES

Geo.Region: North America

Last Financial Statement

Statement ID: 65

Date: 12/22/1999

Status: AUDITED

Parent Information

Parent ID:

Classification:

Parent Name:

State:

Country:

Geo.Region:

816

818

820

822

SELECT

CLOSE

FIG. 8



## Statement List

Id Stmt	Dt Stmt	Stmnt Status	Cncy	Id User	Dt Modified
6512/22/1999	AUDITED	USD	voughll	12/22/1999	16:10:30

906

A ↑

902

## Statement Detail

Statement Id: 65 Stmt Dt: 12/22/1999

Dt Modified: 12/22/1999 16:10:30 Status: AUDITED

User Id: voughll Currency: USD

CASH/CASH EQUIVALENTS	66,000
SECURITIES OWNED	88,000
SECURITIES BORROWED	77,000
REVERSE REPOS	55,666
RECEIVABLE FROM B/D	76,576
FAILED TO DELIVER	999
RECEIVABLE - OTHER	6,777
REPO	9,999
SECURITIES LOANED	8,888
BANK LOANS	7,777
PAYABLE TO B/D	7,654
PAYABLE TO CLEARING AGENT	33
LESS TREASURY STOCK	555
	666

↑

904

900 ↓

☐ Show All☐ Create Acc Stmt☐ Modify Acc Stmt Order

Save

Modify

New

Print

Close

908 910 912 914 916

FIG. 9



100

16.

FIG. 12

105040 1053300

1304

1300 1306

Account Limit List

REPUBLIC TRADING

Credit Lvl Limit for US TREASURY

LBE Net 3,000,000

MTM Net

LBE Gross 6,000,000

MTM Gross

VAR Net 0

Pnl Net

VAR Gross 0

Pnl Gross

Currency USD

Ind Liquid ☒

Shut Off ☐

Current Limit Typ: Presumed Stm 0

New Limit Typ: Presumed Stm 0

Int Warning: 70

Intvl %: 10

User Modified

Date Modified 08/06/1999 13:02

4 Account(s) without Account Level Limit: CrtPty Level Limit is applied

Acct#	Account Name	BE Id	Id Broker	Active
31037	REPUBLIC TRADING	U559	KH	<input checked="" type="checkbox"/>
31038	REPUBLIC TRADING	G123	KH	<input checked="" type="checkbox"/>
31039	REPUBLIC TRADING	G122	KH	<input checked="" type="checkbox"/>
31034	REPUBLIC TRADING	G121	KH	<input checked="" type="checkbox"/>

Account#

Account Name

Active

Shut Off

LBE Net Limit

LBE Gross Limit

Pnl Net Limit

Pnl Gross Limit

Mtm Net Limit

Mtm Gross Limit

1789

REPUBLIC TRADING (800)

☒

☐

1,000,000

2,000,000

0

0

0

0

1790

REPUBLIC TRADING (MINE)

☒

☐

1,000,000

2,000,000

0

0

0

0

Row Count 2

☐ update mode

SAVE

MODIFY

NEW

Refresh

Print

Export

Close

1302

1308

1310 1311 1312

1314 1316

1318 1320

FIG. 13

Folio Limit	
Link Subcategory:	US TRSPTS 0.0-7
Current Link Type:	Purchased Sale
Purchased Sale	
LBE Net Limit:	30,000,000 Max
LBE Gross Limit:	60,000,000 Max
VARI Gross Limit:	0 Max
VARI Net Limit:	0 Max
MTM Gross Limit:	0 Max
MTM Net Limit:	1,000,000 Max
Principal Gross Limit:	0 Max
Principal Net Limit:	0 Max
Id Currency:	USD
Initial Warning Level:	70%
Warning Interval:	10%
Ird Liquidate:	[X] Yes [ ] No
Ird Shaz Off:	[X] Yes [ ] No
User Modified:	addition
Date Modified:	08/10/1998 16:28:17

56.14

1504

1506 1508 1510

15051

1512

1514

POSITION VS LIMIT

LIMIT CATEGORY

US DEBT MARKETS

LIMIT SUBCAT

US TREASURY

CX FUTURES

OPTIONS

☐ SELECT ALL

☐ UNSELECT ALL

RETRIEVE

REFRESH

☐ MANUAL

☐ AUTO EVERY 30 SECS

DATE 12/09/1999 14:04:07 PAGE 1 OF 1

ROW COUNT 1

ACCOUNT

TRANSACTION

PRESENT

CLOSE

1516 1518 1520

FIG. 15

105010 105010

1601 1600

Position vs. Limit Account Detail

READY TRADE

Account Level Position vs. Limit for DX FUTURES Date: 12/22/1999 16:38:41 Page 1 of 1

Account#	Account Name	Active	Strd %	Off	In	Quantity	LBE Net Position	LBE Net Limit	LBE Net	LBE Gross Position	LBE Gross Limit
Total:						101	-7,795,276			7,952,756	
9589ELECTRONIC 9589		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	50	-3,937,008		0.00	3,937,008	
9587ELECTRONIC 9587		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	51	-3,858,268		0.00	4,015,748	

Row Count 2

Print Export Close

1602

1604

FIG. 16



1704

1700

Position vs Limit

READY TRADE

CX FUTURES : Limit vs Position Transactions Date: 12/22/1999 16:37:19 Page 1 of 1

Account Id	Id Security	Nm Security	Quantity	LBE	Principal	Price	MTM	VAR	Trade ID	Orig	Tr Room	Buy/Sell	Stat	Fail
Total			101	-7,795,276	10,000									
9587	B 199906		25	-1,968,504	2,475	99,0000			1999101401169200002	2		SE	HO	ELB
9587	B 199906		25	-1,968,504	2,475	99,0000			1999101401169300002	2		SE	HO	ELB
9589	B 199906		25	-1,968,504	2,475	99,0000			1999101401169400002	2		SE	HO	ELB
9589	B 199906		25	-1,968,504	2,475	99,0000			1999101401169500002	2		SE	HO	ELB
9587	B 199906		1	78,740	100	100.3438			1999101401169000001	2		BU	HO	ELB

Row Count 5

Print

Export

Close

1706

FIG. 17

1702

1800

1806

1804

SELECT LIMIT CAT  
USD EBT MARKETS

SUBCAT LIST  
US TREASURY  
CX FUTURES

OPTIONS  
SELECT ALL  
D UNSELECT ALL  
REFRESH

REFRESH

ⓐ AUTOMATIC every 30 sec  
ⓑ MANUAL

Today's Position Date: 12/22/1999 16:44:21 Page 1 of 18

Id	CounterParty Name	Unit Subcategory	Quantity	Lbe Net Position	Lbe Gross Position	LBE Long Pos	LBE Short Pos	Var Net Position
Total			35,452	0	2,984,722,799	1,492,361,400	1,492,361,400	0
1784	ROMOY TRADE	CX FUTURES	101	-7,952,756	7,952,756	78,740	7,874,016	0

ROW COUNT 1

ACCOUNT

TRANSACTION

PRINT

CLOSE

1808

1810

FIG. 18

10507070559200

c1900

Today's Account Position

READY TO GO

Today's Account Position for CX FUTURES Date: 12/22/1999 16:45:24 Page 1 of 1

Acct#	Account Name	Active	Qty	Lbe Net	Lbe Gross	Long Pos	Short Pos	Mtm Ne
Total			101	-7,795,276	7,952,756	78,740	7,874,016	
9587	ELECTRONIC 9587	<input checked="" type="checkbox"/>	51	-3,858,264	4,015,748	78,740	3,937,008	
9589	ELECTRONIC 9589	<input checked="" type="checkbox"/>	50	-3,937,008	3,937,008	0	3,937,008	

Row Count 2

Print Export Close

1904

FIG. 19

1902

165010 1659260

2004 2006

2000

Cumulative Position

Limit Category: US DEBT MARKETS

Limit Subcategory: US TREASURY  
FX-FUTURES

Options: ☒ Select All ☐ Unselect All

Retrieve

Date: 12/22/1999 16:47:58 Page 1 of 86

Id	CounterParty Name	Limit Subcategory	Quantity	Lbe Net Position	Lbe Gross Position	LBE Long Pos	LBE Short Pos	Var Net Position
Total			3,802,635,452	181,028,943	5,632,923,827	2,906,976,385	2,725,947,442	0
6053 READY TRADE		US TREASURY	45,000,000	-1,562,500	23,437,500	10,937,500	12,500,000	0

ROW COUNT 20

ACCOUNT TRANSACTION PRINT CLOSE

2002

2008

2010

FIG. 20

REPORT GENERATED

2100

Cumulative Account Position

READY TO PRINT

Cumulative Account Position for US TREASURY Date: 12/22/1999 16:48:09 Page 1 of 1

Acct#	Account Name	Active	Qty	Lbs Net	Lbs Gross	Long Pos	Short Pos	Mm Net
Total			45,000,000	-1,562,500	23,437,500	10,937,500	12,500,000	
9999	BOB	<input checked="" type="checkbox"/>	15,000,000	-1,562,500	7,812,500	3,125,000	4,687,500	
1001	MIKE	<input checked="" type="checkbox"/>	30,000,000	0	15,625,000	7,812,500	7,812,500	

Row Count 2

Print

Export

Close

2102

FIG. 21

2104